

JC14 Rec'd PCT/PTO 13 MAY 2005

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase of:

Applicant: Peter George Robin Smith et al.  
PCT Application No.: PCT/GB2002/002141  
PCT Filing Date: May 19, 2003  
Title: FABRICATION OF WAVEGUIDES AND BRAGG GRATINGS WITH UV-IRRADIATION  
Attorney Docket No. DYOUNP0288US

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449.

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) ☒ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report, is being submitted herewith or has previously been submitted.

(b) ☐ Attached is a "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) ☒ Within 3 months of the filing date, date of entry into the National Stage, or filing date of CPA.

(b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.

(c) ☐ Before the mailing date of a first Office Action on the merits after a first or second submission after final rejection under 37 C.F.R. 1.129(a).

(d) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988

(e) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or

(2) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

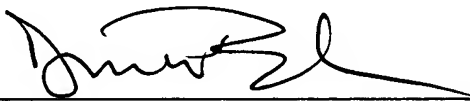
(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully Submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

By 

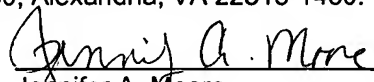
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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 5-13-05

  
Jennifer A. Moore

Form PTO-1449 (Modified)  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	Atty Docket No.	Serial No.
	DYOUNP0288US	10/535010
	Applicant:	
	Peter George Robin Smith et al.	
	Filing Date	Group
	May 19, 2003	

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub-class	Filing Date if Appropriate
	6,229,938	05/2001	Hibino et al.			
	6,438,293	08/2002	Eldada et al.			
	5,896,484	04/1999	Borrelli et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Sub-class	Translation	
						Yes	No
Ⓐ	2002311277	10/2002	JP				
Ⓑ	02/071113	09/2002	WO				
	03214109	09/1991	JP /				
	0909963	04/1999	EP /				
	02/44780	06/2002	WO /				
	2308461	06/1997	UK /				
	2002022917	01/2002	JP /				

OTHER ART

Examiner Initial	Author, Title, Date, Pertinent Pages, etc.
Ⓐ	Emmerson, G.D. et al. "Fabrication of directly UV-written channel waveguides with simultaneously defined integral Bragg gratings." <u>Electronics Letters</u> . 38.24 (2002): 1531-1532.
Ⓑ	Svalgaard, M. "Direct writing of planar waveguide power splitters and directional couplers using a focused ultraviolet laser beam." <u>Electronics Letters</u> . 33.20 (1997): 1694-1695.
Ⓒ	Park Mahn Yong et al. "Fabrication of low-cost planar wavelength-selective optical add-drop multiplexer by employing UV photosensitivity." <u>Electronics Letters</u> . 38.24 (2002): 1532-1533.
	Bonar, J.R. et al. "Low threshold Nd-doped silica planar waveguide laser." <u>Electronics Letters</u> . 30.3 (1994): 229-231.
/	Hill, Kenneth O. et al. "Fiber Bragg Grating Technology Fundamentals and Overview." <u>Journal of Lightwave Technology</u> . 15.8 (1999): 1263-1276.

Examiner Initial	Author, Title, Date, Pertinent Pages, etc. <span style="float: right;">10/535010</span>
/	Svalgaard, M. et al. "Directly UV written silica-on-silicon planar waveguides with low loss." <u>Electronics Letters</u> . 33.10 (1997): 861-863.
/	Gaff, K.W. et al. "Two-wavelength planar add/drop WDM filter employing a three-mode coupling Bragg grating." <u>Electronics Letters</u> . 36.13 (2000):1143-1145.
/	Iino, Akira et al. "Mechanisms of Hydrogen-Induced Losses in Silica-Based Optical Fibers." <u>Journal of Lightwave Technology</u> . 8.11 (1990): 1675-1679.
/	Atkins, R.M. et al. "Effects of elevated temperature hydrogen exposure on short-wavelength optical losses and defect concentrations in germanosilicate optical fibers." <u>Journal of Applied Physics</u> . 72.2 (1992): 344-348.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

### Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

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